

# INVESTIGATIVE AUDITOR III DEPARTMENT OF JUSTICE



State of California  
DEPARTMENT OF  
JUSTICE  
P.O. BOX 944255  
Sacramento, CA 94244-2550

## OPEN – STATEWIDE

### CONTINUOUS TESTING

CALIFORNIA STATE GOVERNMENT · AN EQUAL EMPLOYMENT OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.

IT IS THE OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORK PLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

#### CONTINUOUS TESTING

The testing office will accept examination packets continuously. Testing is considered continuous as cut-off dates can be set at any time as needs warrant. Applications will be reviewed to ensure the minimum requirements for participation in this exam are met. Possession of the entrance requirements does not assure a place on the eligible list. Names of successful competitors will be merged into the list in order of final scores, regardless of test date. Once you have taken the Training and Experience Questionnaire examination, you may not retest for twelve (12) months from the established list date.

#### WHO CAN APPLY

Persons who meet the minimum qualifications as stated on this bulletin. This is an Open Examination. Applications will not be accepted on a promotional basis.

#### FILING INSTRUCTIONS

All applicants must complete and return the entire examination packet. The examination packet must include the following:

- [State Examination Application \(Form STD 678\)](#)
- [Training and Experience Questionnaire](#)
- Copy of Transcripts

#### Mailing Address:

Department of Justice  
Testing and Selection Unit  
P.O. Box 944255  
Sacramento, CA 94244-2550

#### File in Person:

Department of Justice  
Testing and Selection Unit  
1300 "I" Street, 1<sup>st</sup> Floor Lobby  
Sacramento, CA 95814

**DO NOT SUBMIT APPLICATIONS TO THE STATE PERSONNEL BOARD, ONLINE, VIA INTER-AGENCY MAIL OR FAX.**

#### RECRUITMENT SURVEY

As part of the application process, please follow [this web link](#) to complete a recruitment survey. If you are viewing this in paper form, visit the following website at [www.aq.ca.gov/careers/exams.php](http://www.aq.ca.gov/careers/exams.php)

#### SPECIAL TESTING ARRANGEMENTS

If you are an individual with a disability and need reasonable accommodation to participate in this examination, please mark the box in question #2 on the "Examination Application". You will be notified in writing to determine what assistance can be provided.

#### SALARY RANGE

**\$4619-\$5897**

The salaries used in this bulletin are the latest available from the State Controller's Office, but may not reflect the most recent salary adjustment.

#### ELIGIBLE LIST INFORMATION

An open eligible list will be established for the Department of Justice. The names of successful competitors will be merged on the list in order of final scores, regardless of date. Competitors' eligibility will expire 12 months after it is established unless the needs of the service and conditions of the list warrant a change in this period.

#### REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION

All applicants must meet the education and/or experience requirements by the announced cut-off date. All applications/resumes must include "To" and "From" employment dates (Month/Day/Year), time base, and applicable classification titles.

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**MINIMUM  
QUALIFICATIONS**

Experience applicable to one of the following patterns may be combined on a proportional basis with experience applicable to the other patterns to meet the total experience requirements.

**Either I**

**Experience:** One year of experience in the California state service performing professional investigative auditing duties as an Investigative Auditor II, or experience performing professional auditing duties in a class equivalent in level and type to that of the Investigative Auditor II.

**Or II**

**Experience:** Three years of increasingly responsible professional investigative auditing experience, including at least one year of experience conducting a variety of complex investigative audits. (Experience in the California state service applied toward this requirement must include at least one year performing the duties of a class with a level of responsibility equivalent to that of an Investigative Auditor II.)

**And**

**Education: Either**

1. Equivalent to graduation from college, with specialization in accounting; or
2. Completion of a prescribed professional accounting curriculum given by a residence or correspondence school of accounting including courses in elementary and advanced accounting, auditing, cost accounting, and business law; or
3. Completion of the equivalent of 19 semester hours of course work, including 16 semester hours of professional accounting courses given by a collegiate-grade residence institution including courses in elementary and advanced accounting, auditing and cost accounting and three semester hours of business law. (Evidence of successful completion of the curriculum and the prescribed courses must be presented before appointment can be completed.)

**Professional accounting curriculum** means accounting courses and not those electives that accounting students choose in addition to required courses they are working to obtain a certificate: AA, or BA Degree in Accounting.

NOTE: Applicants **MUST** provide a copy of their college transcript(s) as proof of completion of the required course work. Transcript(s) **must be received** by the established cut-off date.

**DEFINITION OF  
TERMS**

The words “**performing the duties of...**” means the applicant must have the amount of experience in State service in the class specified (or on a training and development (T&D), limited term, or approved out-of-classes assignment to the class).

The word “**duties in a class equivalent in level and type....**” means the applicant must have State service experience of appropriate **type** and **length** in a class at the same (or higher) level of responsibility, and/or pay as the class specified. The analyst will make the determination if the duties are qualifying.

“**Equivalent to graduation from college...**” satisfaction of the requirements for a bachelor’s degree from an accredited college. Bachelor’s degree, completion of the number of units typical of four full years of college (120 or more semester units or 180 or more quarter units). This means the applicant must show a receipt of a bachelor’s degree.

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### POSITION DESCRIPTION

Employees in the Investigative Auditor III class work under general direction and are typically responsible for performing difficult and complex investigative audits and field investigations. The incumbents apply specialized laws, rules, regulations, investigative techniques and procedures required to effectively complete the audit assigned. These audits will involve multiple organizations with numerous financial accounts that have significant fraudulent financial activity and a significant amount of reconstruction of financial records. The investigative audits and field investigations will be performed independently and require a high level of technical expertise. Positions are located at various sites within the Department of Justice – Sacramento, San Francisco, San Jose, Santa Clara, Los Angeles, Long Beach, Riverside, West Covina, San Diego, and Burbank.

### EXAMINATION INFORMATION

The examination will consist of a Training and Experience Questionnaire and is the sole component of the Investigative Auditor III examination. To obtain a position on the eligible list a minimum score of 70% must be received.

#### TRAINING AND EXPERIENCE QUESTIONNAIRE-WEIGHTED 100%

In addition to evaluating the competitor's relative abilities as demonstrated by quality and breadth of experience, emphasis in the Training and Experience Questionnaire process will be on measuring the following competencies:

- Analysis and Investigations
- Communication
- Report Writing

### SPECIAL PERSONAL CHARACTERISTICS

Ability to qualify for a fidelity bond; a willingness to travel away from the headquarters or area office; willingness to work long hours. Applicants for positions with the Bureau of Narcotic Enforcement must also possess a valid driver's license of the appropriate class issued by the Department of Motor Vehicles.

### ADDITIONAL DESIRABLE QUALIFICATIONS

In appraising the relative qualifications of candidates, consideration will be given to the extent and type of pertinent education beyond that required under "Minimum Qualifications", and to any prior training and experience in financial investigations.

### ADDITIONAL REQUIREMENTS

Under Section 432.7(e) of the Labor Code, persons seeking employment with the Department of Justice may be asked to disclose arrest or detention information regardless of whether or not the arrest or detention resulted in conviction, referral, or participation in diversion programs prior to appointment. Department of Justice regulations may require, as a minimum, pre-employment investigations consisting of fingerprinting; inquiry to local, State, and national files to disclose criminal records; verification of minimum qualifications (i.e., college transcripts); financial status; previous employment background; and personal interviews to determine applicant's suitability for employment.

### VETERANS PREFERENCE

Veterans Preference Credits will be added to the final score of all competitors who are successful in this examination and who qualify for, and have requested these points. Due to changes in the law, which were effective January 1, 1996, **VETERANS WHO HAVE ACHIEVED PERMANENT CIVIL SERVICE STATUS ARE NOT ELIGIBLE TO RECEIVE VETERANS' CREDITS.**

### CAREER CREDITS

Career Credits will not be granted in this examination.

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### GENERAL INFORMATION

The Department of Justice reserves the right to revise the examination plan to better meet the needs of the service if the circumstances under which this examination was planned change. Such revision will be in accordance with civil service laws and rules and all candidates will be notified.

It is the Candidate's Responsibility to contact the Department of Justice, (916) 324-5039, TDD (916) 952-8396 three days prior to the written test date if he/she has not received his/her notice.

For an examination without a written feature it is the candidate's responsibility to contact the Department of Justice, (916) 324-5039, TDD (916) 952-8396 three weeks after the final filing date if he/she has not received a progress notice.

If a candidate's notice of oral interview or performance test fails to reach him/her prior to the day of the interview due to a verified postal error, he/she will be rescheduled upon written request.

Applications are available at the State Personnel Board Offices ([www.spb.ca.gov](http://www.spb.ca.gov)), and local Offices of the Employment Development Department ([www.edd.ca.gov](http://www.edd.ca.gov)).

If you meet the requirements stated on the reverse, you may take this examination, which is competitive. Possession of the entrance requirement does not assure a place on the eligible list. Your performance in the examination described on the other side of this bulletin will be compared with the performance of the others who take this test, and all candidates who pass will be ranked according to their scores.

**Examination Locations:** When a written test is part of the examination, it will be given in such places in California as the number of candidates and conditions warrant. Ordinarily, interviews are scheduled in Sacramento, San Francisco, and Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub divisional promotional, 2) departmental promotional, 3) multi departmental promotional, 4) service wide promotional, 5) departmental open, 6) open. When there are two lists of the same kind, the older list must be used first. Eligible lists will expire in from one to four years unless otherwise stated on this bulletin.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment records and personal history and fingerprinting may be required.

**Interview Scope:** If an interview is conducted, in addition to the scope described on the other side of this bulletin, the panel will consider education, experience, personal development, personal traits and fitness. In appraising experience, more weight will be given to the breadth and recency of pertinent experience and evidence of the candidate's ability to accept and fulfill increasing responsibilities than to the length of his/her experience. Evaluation of a candidate's personal development will include consideration of his/her recognition of his/her own training needs; his/her plans for self-development; and the progress he/she has made in his/her efforts toward self-development.

**Veterans Preference:** California law limits the granting of veterans preference credits to entrance examinations. When credit is granted it is as follows: 10 points for veterans, widows or widowers of veterans and spouses of 100% disabled veterans; and 15 points for disabled veterans. Directions for applying for veterans preference are on the Veterans Preference application form which is available from State Personnel Board offices or written test proctors.

**High School Equivalence:** Equivalence to completion of the 12<sup>th</sup> grade may be demonstrated in any one of the following ways: 1) passing the General Education Development (GED) Test; 2) completion of 12 semester units of college-level work; 3) certification from the State Department of Education, a local school board, or high school authorities that the candidate is considered to have education equivalent to graduation from high school; or 4) for clerical and accounting classes, substitution of business college work in place of high school on a year-for-year basis.

**Career Credits:** In open, nonpromotional examinations, career credits are granted to: 1) State employees with permanent civil service status, 2) full-time employees of the State who are exempt from State civil service pursuant to the provisions of Section 4 of Article VII of the California Constitution, and who meet all qualification requirements specified by the Board and have 12 consecutive months of service in an exempt position, and 3) individuals who have served one full year in, or are graduates of, the California Conservation Corps (eligibility shall expire 24 months after graduation from the California Conservation Corps). Three points are added to the final test score of those candidates who meet the above criteria, and who are successful in the examination. Such examinations cannot be for managerial positions described in Government Code Section 3513. Competitors not currently employed in State civil service who have mandatory reinstatement rights may also be eligible for career credits, but they must explain their civil service status in the appropriate section of the application Form 100-678. (Section 4 of article VII of the California Constitution is posted at the State Personnel Board, 801 Capitol Mall, Sacramento.)

If hearing impaired, call the California Relay Service.

1-800-735-2929 (From TDD Phone)

1-800-735-2922 (From Voice Phone)

TDD is Telecommunications Device for the Deaf and is reachable only from telephones equipped with a TDD device.

DEPARTMENT OF JUSTICE  
TESTING AND SELECTION UNIT  
P.O. BOX 944255  
SACRAMENTO, CA 94255-2550  
(916) 324-5039



# California Department of Justice INVESTIGATIVE AUDITOR III, Department of Justice Training and Experience Questionnaire

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This Training and Experience Questionnaire is the examination process for the classification of Investigative Auditor III, Department of Justice. The results of this examination will determine your placement on the hiring list for the classification should any open positions become available.

The assessment is a self-rating process. In the following pages, you will rate yourself on a series of statements designed to measure how your educational and work history has provided you the essential knowledge, skills, and abilities required to successfully perform in the Investigative Auditor III, Department of Justice position. **The overall assessment consists of three (3) sections.**

- Analysis and Investigations
- Communication
- Report Writing

## **How to take a T&E**

### **What is a T&E?**

A Training and Experience Questionnaire (T&E) is a way to measure the previous experience, training, and/or education that a candidate has that is relevant to the job for which the exam is being conducted.

T&Es are typically questionnaires that consist of a series of statements that represent qualities important for successful job performance. You will be asked to rate yourself on the experience, training, and education that you will bring to the job.

### **How do I rate myself?**

Making judgments about your own level of skills or amount of experience can be a difficult task, but there are steps you can take to help increase the accuracy of your ratings.

- To start, pull together some important personal reference materials. You're most likely going to be asked to rate yourself based on your previous work experience. It can be difficult to accurately recall in detail the accomplishments you have achieved in your career. So take a moment to refresh your memory.
  - Pull out your resume and review it. Update it if you need to. Look over your previous positions and the tasks that you performed while in those positions.
  - Review past performance appraisals. These may contain development plans or details of projects that you completed in the past.
  - Look over your transcripts. Remind yourself of the courses that you have taken in your educational path. If there are educational requirements, you may be asked about specific courses that you took while pursuing your education.
  - Make a list of training courses and professional classes that you have taken throughout your career. Note any certifications that you may have achieved. Sometimes you may not have the previous work experience but you may have taken coursework that exposed you to similar knowledge or skills.
  - Read the questions and the response options carefully. Consider all your relevant training and experience.

### **How do I choose which rating best represents me?**

- After you have reviewed some of your personal reference materials you should be in a pretty good position to rate yourself accurately.
  - Be honest. Don't diminish your accomplishments or the amount of time that you have put into your career. As you rate yourself, keep your personal resources next to you and refer to them as needed to refresh your memory.

Be truthful. Don't exaggerate what you have done. While it's common to want to present yourself to the best advantage, T&Es are of most use when your ratings are accurate. Rating yourself higher in certain experiences or indicating that you have more training than you do in actuality isn't necessarily going to result in a higher score. Often candidates' responses on the T&E questionnaire are confirmed during the hiring interview. Blatantly falsifying your employment history may lead to disciplinary action and/or removal from the employment list.

## General Instructions/Affirmation Page

The Training and Experience Questionnaire is the sole component of the Investigative Auditor III, Department of Justice examination. To obtain a position on the eligible list a minimum score of 70% must be received. The instructions below should be read carefully and understood before completing this examination. Failure to do so may result in an inability to process your Training and Experience Questionnaire and disqualification from this examination.

All applicants **must complete and return the entire** Training and Experience Questionnaire in addition to a copy of their transcripts by the announced cut-off date to be considered for this examination process.

The completed Examination packet and a copy of your transcripts must be returned to one of the following addresses:

**Mailing Address:**

Department of Justice  
Testing & Selection Unit  
PO Box 944255  
Sacramento, CA 94244-2550

**File in Person:**

Department of Justice  
Testing & Selection Unit  
1300 I Street, 1st Floor Lobby  
Sacramento, CA 95814

**I hereby certify that the information provided on this Training and Experience Questionnaire is true and correct to the best of my knowledge and contains no willful misrepresentations or falsifications. I also understand that if it is later discovered that I have made any false representations, I may be removed from the examination and/or the eligible list resulting from this examination, suffer loss of State employment, and/or suffer loss of right to compete in any future State examinations.**

Your Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Your Name (Printed): \_\_\_\_\_

Contact Information:

Address: \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

## Analysis and Investigations

A person working in the Investigative Auditor III classification must be able to look at large amounts of various types of data and find the information necessary to conduct a forensic investigation. An Investigative Auditor III will perform audits and investigations that have significant fraudulent activity requiring a large amount of reconstruction of financial records.

1. Please indicate which type of audit testing you have experience conducting. Choose as many as applicable.
  - a. Statistical sampling
  - b. Substantive testing
  - c. Internal control analysis
  - d. Analytical testing experience
  - e. Fraud detection
  - f. None of the above
  
2. How many years of professional experience do you have performing audits and/or investigations?
  - a. No experience
  - b. Less than six months experience
  - c. More than six months but less than one year
  - d. More than one year but less than three
  - e. More than three years but less than five
  - f. Five years or more



3. How many years of professional experience do you have performing substantive testing?
- a. No experience
  - b. Less than six months experience
  - c. More than six months but less than one year
  - d. More than one year but less than three
  - e. More than three years but less than five
  - f. Five years or more
4. How many years of professional experience do you have performing analytical testing?
- a. No experience
  - b. Less than six months experience
  - c. More than six months but less than one year
  - d. More than one year but less than three
  - e. More than three years but less than five
  - f. Five years or more
5. How many years of professional experience do you have performing internal control analysis?
- a. No experience
  - b. Less than six months experience
  - c. More than six months but less than one year
  - d. More than one year but less than three
  - e. More than three years but less than five
  - f. Five years or more

6. How many years of professional experience do you have performing fraud detection?
- a. No experience
  - b. Less than six months experience
  - c. More than six months but less than one year
  - d. More than one year but less than three
  - e. More than three years but less than five
  - f. Five years or more
7. Which statement best describes your level of independence performing audits and/or investigations during the past two years?
- a. I have never performed an audit and/or an investigation
  - b. I have assisted in performing audits and/or investigations
  - c. I have performed most audits and/or investigations under direction or close supervision
  - d. I have performed most audits and/or investigations independently with minimal lead assistance
  - e. I have performed most audits and/or investigations independently

8. Which statement best describes the type of professional experience you have conducting financial statement analysis?

- a. No experience
- b. I have reconciled accounts
- c. I have examined financial statements
- d. I have attestation experience
- e. I have prepared financial statements

9. What type of experience do you have analyzing financial data?

- a. I have academic experience or on-the-job training analyzing financial data, but have not had the opportunity to apply it
- b. I have limited professional experience analyzing financial data and would need close supervision
- c. I have enough professional experience analyzing financial data so that I can perform it with assistance but not independently
- d. I have sufficient professional experience analyzing financial data so that I can routinely perform it independently
- e. I have extensive professional experience analyzing financial data so that I can lead or teach others on the subject

10. Choose which statement best describes how you most often use spreadsheet software such as Microsoft Excel to analyze data.
- a. I have professional or academic training on how to use spreadsheet software but have not had the opportunity to apply it
  - b. I most often use spreadsheet software to analyze data using spreadsheet templates
  - c. I most often use spreadsheet software to input and sort data
  - d. I most often use spreadsheet software to analyze data creating customized spreadsheets
  - e. I commonly use spreadsheet software to analyze data utilizing Macros, Pivot Tables, higher level functions, etc.
11. How frequently are you using spreadsheet software such as Microsoft Excel in the performance of data analysis?
- a. Never
  - b. Every few months to yearly
  - c. Every few weeks to monthly
  - d. Every few days to weekly
  - e. Every few hours to daily
12. Which professional certifications do you possess? Choose as many as applicable.
- a. I do not currently possess any certifications
  - b. Certified Fraud Examiner
  - c. Certified Public Accountant
  - d. Certified Fraud Specialist
  - e. Certified Computer Forensics Expert
  - f. Certified Internal Auditor
  - g. Certified Management Auditor

13. Please indicate the highest amount of education you have achieved to help prepare yourself in your auditing career.

- a. Certificate in Accounting/19 units in accounting courses
- b. AA/AS in Accounting
- c. BA/BS in Accounting
- d. BA/BS in Economics
- e. BA/BS in Business Management/Administration/Finance
- f. Graduate degree in Business-related field

14. Choose which statement best describes the degree of involvement you have had in planning an audit.

- a. I have no experience in planning an audit
- b. I have planned and executed an overall audit assignment independently (for example, created an audit program, planned the timing extent, the degree of testing, logistics, etc.)
- c. I have planned portions or sections of an audit assignment either independently or as a lead
- d. I have participated in the planning process (reviewing background information, attending planning meetings, etc.)
- e. I have used established audit programs without modifications

## Communication

Persons working in the Investigative Auditor III classification work in a field where they are called upon to communicate with various types of persons whether it is through interviewing individuals or speaking/testifying about their findings, and the steps they took to reach their conclusions. This can occur in a variety of settings ranging from reporting to management to testifying in court.

15. Please choose which statement best describes how you have acquired or developed interviewing skills.

- a. I have yet to develop interviewing skills
- b. I have received training on how to interview persons
- c. I have interviewed persons independently while performing numerous audits and/or investigations
- d. I have interviewed persons in team settings with other auditor and/or investigators
- e. I have interviewed persons under the supervision of a lead auditor

16. What population types or professional individuals do you have the most experience interviewing, either in a professional or training setting? Choose as many as applicable.

- a. I have no experience interviewing persons either in a professional or training setting
- b. Legal (lawyers, court system, paralegals, legal secretaries, etc.)
- c. Law Enforcement (Agent, Police, Sheriff, etc.)
- d. Financial industry (investors, bankers, accountants, etc.)
- e. Government regulatory agencies (Federal, State, Local)
- f. Government Contractors/Vendors
- g. Non-profit agencies (managers, supervisors, executives, staff, etc.)
- h. Private/Public business entities (managers, supervisors, executives, staff, etc.)
- i. General public (citizen witnesses, victims, etc.)

17. Which professional industries do you have professional experience working with? Your experience can be audit or non-audit related. Choose as many as applicable.

- a. I have no professional working experience
- b. Legal (courts, law firms, mediating companies, advocacy groups, etc.)
- c. Law Enforcement Agencies (Federal, State, Local)
- d. Financial industry (investment houses, banks, accounting firm, money service business, etc.)
- e. Government regulatory agencies (Federal, State, Local)
- f. Government Contractor/Vendors
- g. Non-profit agencies (hospitals, religious/charitable organizations, etc.)
- h. Private/Public business entities (partnerships, corporations, sole proprietors, LLCs, etc.)

18. Which statement best describes your public speaking experience?

- a. I have no public speaking experience
- b. I have given professional presentations to external stakeholders (i.e., conferences, training, presenting findings, etc.)
- c. I have given presentations within my department or work unit (i.e., presenting findings, internal training, etc.)
- d. I have testified in legal/regulatory proceedings regarding audits/investigations
- e. I have given presentations at civic organizations (i.e., Toastmasters, Lions, Kiwanis, Rotary, etc.)
- f. I have given presentations during my academic career

19. Please choose which statement best describes your professional experience testifying in a legal proceeding (administrative, civil, criminal) as an auditor/investigator.

- a. I have no experience
- b. I have experience testifying briefly
- c. I have been cross-examined
- d. I have been called as an expert witness

## Report Writing

Persons working in the Investigative Auditor III classification are called upon to write original narratives and/or reports to document their findings and conclusions. These documents may be used as evidence in court procedures.

20. How much professional experience do you have conveying audit/investigative findings, conclusions, or recommendations in a written format?

- a. No experience
- b. Less than six months experience
- c. More than six months but less than one year
- d. More than one year but less than three
- e. More than three years but less than five
- f. Five years or more

21. Choose which statement best describes your experience conveying audit/investigative findings, conclusions, or recommendations in a written format.

- a. I have used a form, checklist, and/or template to convey my findings, conclusions, or recommendations
- b. I have developed my written findings, conclusions, or recommendations under close supervision
- c. I have independently developed my written findings, conclusions, or recommendations under minimal supervision
- d. I have independently developed my written findings, conclusions, or recommendations with no assistance



22. To which population types or professional individuals have you conveyed your audit/investigative findings, conclusions, recommendations in a written format? Choose as many as applicable.

- a. I have no experience conveying findings
- b. Legal (lawyers, court system, paralegals, legal secretaries, etc.)
- c. Law Enforcement (Agents, Police, Sheriff, etc.)
- d. Financial industry (investors, bankers, accountants, etc.)
- e. Government regulatory agencies (Federal, State, Local)
- f. Non-profit agencies (managers, supervisors, executives, staff, etc.)
- g. Private/Public business entities (managers, supervisors, executives, staff, etc.)

23. Which type of documents do you have professional experience reviewing? Choose as many as applicable.

- a. Statutes/ Regulatory materials
- b. Professional Standards/ Trade or Professional Publications
- c. Contracts
- d. Financial documents (i.e. loan, bank statements, tax returns, general ledger)
- e. Medical Records
- f. Court documents
- g. Internal/External investigative reports
- h. Audit reports and findings
- i. Policies and Procedures/Training Material
- j. Consumer Complaints
- k. Complaint referrals

THIS COMPLETES THE TRAINING AND EXPERIENCE QUESTIONNAIRE